

## APPENDIX D

### Guidance on Board of Investigation Reports

1. The purpose of a board of investigation report is to identify the causes (indirect and direct) of, and the factors contributing to, the accident and to recommend corrective actions to preclude future occurrences of similar accidents. Determination of accident causes and contributing factors (and their ensuing corrective actions) will:

a. Target all levels of involvement, i.e., employee, supervisory, managerial; FOA, division, or headquarters, USACE levels; Corps and contractor.

b. Target systemic deficiencies (e.g., design, inspection and maintenance, operating procedures, training, supervision, safety compliance and monitoring, human factors, environmental factors, motivational factors, and drug/alcohol consumption).

2. Board reports should contain the following information and be in the following format. The first three categories, GENERAL, DESCRIPTION, AND FINDINGS, list factual information and may be printed together. The final two categories, CONCLUSIONS and RECOMMENDATIONS, are based, in part, on conjecture and each should be printed on separate pages to facilitate their removal in the event the board report is released.

a. GENERAL. Describe the reason for formation of the board and the convening of the board. Specify the authority under which the board was formed and operated. List the board members and advisors by name, title, and organizational element. Give a very brief (short paragraph) summary of the accident. Describe the relationship between USACE and the subject of the investigation.

b. DESCRIPTION. Give the scenario of the accident, describing the factual details.

c. FINDINGS. List all relevant factual findings of the investigation.

d. CONCLUSIONS. List the board's conclusions as to the causes, direct and indirect, of the accident. With regards to standards and operational procedures, reports will identify the following:

(1) Standards or procedures were incomplete, unclear, impractical, or did not exist.

(2) Standards or procedures exist but were not known or ways

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to achieve them were not known.

(3) Standards or procedures were known but were not enforced, and the reasons the standards were not enforced.

(4) Standards or procedures were known but were not followed, and the reasons the standards were not followed.

e. RECOMMENDATIONS. For each causal factor, direct or indirect, the board will recommend actions to preclude their future occurrence. As appropriate, recommendations will target all levels of involvement, i.e., employee, supervisory, managerial; FOA, division, or headquarters, USACE levels; Corps and contractor.

f. ABSTRACT REPORT. An abstract of the accident in the following format, which will only include factual information:

- (1) Type of location.
- (2) Date and Time.
- (3) Agency directly causing the accident.
- (4) Personnel and equipment categories.
- (5) Details of occurrence.
- (6) Nature and number of injuries and property damage.
- (7) Causes, direct and indirect.
- (8) Remarks.

(9) Recommendations for corrective actions to preclude future occurrences of similar accidents (one for each direct and indirect cause identified in (7)).

g. APPENDICES. The report should include photographs, sketches, diagrams and other exhibits such as inspection reports, accident prevention programs, training documents, etc., necessary to present a clear picture.

3. Testimony of witnesses will be summarized and witnesses will only be identified by job title or assignment. Verbatim, signed, or personally identifying statements will not be included in the board reports or in supporting documents or files.